

Docket No.: 42390P8112

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

CARL M. ELLISON

Application No.: 09/540,611

Filed: March 31, 2000

For: **MANAGING ACCESSES IN A
PROCESSOR FOR ISOLATED
EXECUTION**

Art Group: 2782

Examiner: Unassigned

RECEIVED

MAY 11 2004

Technology Center 2100

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s). Copies of the references cited on PTO/SB/08 are enclosed herewith.

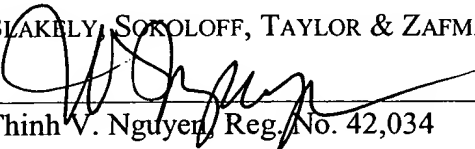
The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,


BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: January 26, 2004


Thinh V. Nguyen, Reg. No. 42,034

12400 Wilshire Boulevard, 7th Floor
Los Angeles, CA 90025
Telephone: (714) 557-3800

I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.


Tu T. Nguyen

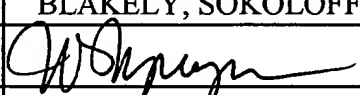
01-26-04

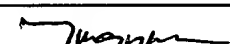
Date

TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>		Application No.	09/540,611
		Filing Date	March 31, 2000
		First Named Inventor	Carl M. Ellison
		Art Unit	2782
		Examiner Name	Unassigned
Total Number of Pages in This Submission	6	Attorney Docket Number	42390P8112

RECEIVED
MAY 11 2004
Technology Center 2100

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input checked="" type="checkbox"/> PTO/SB/08 <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Basic Filing Fee <input type="checkbox"/> Declaration/POA <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> Cited References & Change of Correspondence Address </div>
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Thinh V. Nguyen, Reg. No. 42,034 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	January 26, 2004

CERTIFICATE OF MAILING/TRANSMISSION			
I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.			
Typed or printed name	Tu T. Nguyen		
Signature		Date	January 26, 2004

FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT

(\$)

Complete if Known

Application Number 09/540,611
Filing Date March 31, 2000
First Named Inventor Carl M. Ellison
Examiner Name Unassigned
Group/Art Unit 2782
Attorney Docket No. 42390P8112

Technology Center 2100

MAY 11 2004

RECEIVED

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None
☒ Deposit Account

Deposit Account Number

02-2666

Deposit Account Name

Blakely, Sokoloff, Taylor & Zafman LLP

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments
☒ Charge any additional fee(s) required under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)				(\$)	

2. EXTRA CLAIM FEES

Total Claims - 20** = X =
Independent Claims - 3 = X =
Multiple Dependent =

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1202	18	2202	9	Claims in excess of 20	
1201	88	2201	43	Independent claims in excess of 3	
1203	290	2203	145	Multiple Dependent claim, if not paid	
1204	86	2204	43	**Reissue independent claims over original patent	
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)				(\$)	

**or number previously paid, if greater, For Reissues, see below

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet.	
2053	130	2053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	1,210	2255	605	Extension for reply within fifth month	
1404	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	2451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1480	130	2460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	1809	385	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	
Other fee (specify)					

* Reduced by Basic Filing Fee Paid

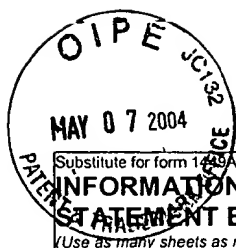
SUBTOTAL (3)

(\$)

SUBMITTED BY

Complete (if applicable)

Name (Print/Type) **Thinh V. Nguyen** Registration No. **42,034** Telephone **(714) 557-3800**
Signature *Thinh V. Nguyen* Date **01/26/04**



Substitute for form 1449-VPTO
**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Use as many sheets as necessary)

Complete if Known

Application Number	09/540611
Filing Date	March 31, 2000
First Named Inventor	Ellison, Carl
Group Art Unit	Unknown
Examiner Name	Unknown

RECEIVED

MAY 11 2004

Sheet 1 of 1

Attorney Docket No: 42P08112

Technology Center 2100

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Foreign Document No	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	T ²
	JP-JP2000076139	03/14/2000	Tanno, Masaaki , et al.			
	WO-WO0175564	10/11/2002	Herbert, Howard C., et al.			
	WO-WO02086684	10/31/2002	Proudlar, Graeme J.			
	WO-WO0217555	02/28/2002	Ford, Warwick			

OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		CHIEN, ANDREW A., et al., "Safe and Protected Execution for the Morph/AMRM Reconfigurable Processor", <u>7th Annual IEEE Symposium, FCCM '99 Proceedings</u> , XP010359180, ISBN 0-7695-0375-6, Los Alamitos, CA, (4/21/1999),209-221	
		COMPAQ COMPUTER CORPORATION, et al., "Trusted Computing Platform Alliance (TCPA) Main Specification Version 1.1a", (12/2001),1-321	
		IBM, "Information Display Technique for a Terminate Stay Resident Program IBM Technical Disclosure Bulletin", <u>TDB-ACC-No. NA9112156</u> , Vol. 34, Issue 7A, (12/1/1991),156-158	
		KARGER, PAUL A., et al., "A VMM Security Kernel for the VAX Architecture", <u>Proceedings of the Symposium on Research in Security and Privacy</u> , XP010020182, ISBN 0-8186-2060-9, Boxborough, MA, (5/7/1990),2-19	
		ROBIN, JOHN S., et al., "Analysis of the Pentium's Ability to Support a Secure Virtual Machine Monitor", <u>Proceedings of the 9th USENIX Security Symposium</u> , XP002247347, Denver, Colorado, (8/14/00),1-17	

EXAMINER

DATE CONSIDERED

Substitute Disclosure Statement Form (PTO-1449)

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional) 2 Applicant is to place a check mark here if English language Translation is attached

**UNITED STATES PATENT AND TRADEMARK OFFICE
ACKNOWLEDGEMENT RECEIPT**

Electronic Version 1.1

Stylesheet Version v1.1.1

Title of Invention

Managing Accesses in a Processor for Isolated Execution

Submission Type: Information Disclosure Statement

Application Number: 09/540611

09/540611

EFS ID: 54179

Server Response:

Confirmation Code	Message
ISVR1	Submission was successfully submitted - Even if Informational or Warning Messages appear below, please do not resubmit this application
ICON1	2172
ISYS5	Filename= N/A BusinessRule= Validation System/Function Call Information. #Supporting Msg:Server unable to validate the Confirmaton/Application numbers at this time. They will be checked by PTO personnel later.

First Named Applicant: Carl Ellison

Attorney Docket Number: 42P08112

Timestamp: 2004-01-23 15:22:43 EDT

From: us

File Listing:

Doc. Name	File Name	Size (Bytes)
us-ids	42P08112-usidst.xml	15311
us-ids	us-ids.dtd	7763
us-ids	us-ids.xsl	12026
package-data	42P08112-pkda.xml	1781
package-data	package-data.dtd	27025
package-data	us-package-data.xsl	19263
Total files size		83169

Message Digest: 791cc8002faa6752678828edc6c8c58811b1ec27

Digital Certificate Holder Name: cn=William W. Schaal,ou=Registered Attorneys,ou=Patent and Trademark Office,ou=Department of Commerce,o=U.S. Government,c=US

RECEIVED

MAY 11 2004

Technology Center 2100

ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

Stylesheet Version v18.0

Title of Invention**Managing Accesses in a Processor for Isolated Execution**

Application Number: 09/540611

09/540611

Confirmation Number: 2172

RECEIVED

First Named Applicant: Carl Ellison

MAY 11 2004

Attorney Docket Number: 42P08112

Art Unit: Unknown

Technology Center 2100

Examiner: Unknown Unknown

Search string: (4162536 or 4247905 or 4276594 or 4307447 or 4319323 or 4347565 or 4571672 or 4759064 or 4795893 or 4825052 or 4907270 or 4907272 or 4910774 or 5007082 or 5139760 or 5317705 or 5319760 or 5434999 or 5437033 or 5442645 or 5459869 or 5504922 or 5511217 or 5522075 or 5528231 or 5533126 or 5564040 or 5566323 or 5582717 or 5606617 or 5720609 or 5721222 or 5737604 or 5796835 or 5825875 or 5854913 or 5867577 or 5900606 or 5901225 or 5903752 or 5970147 or 6061794 or 6075938 or 6092095 or 6115816 or 6173417 or 6182089 or 6212635 or 6222923 or 6252650 or 6269392 or 6272637 or 6282650 or 6308270 or 6314409 or 6330670 or 6357004 or 6363485 or 6374286 or 6374317 or 6378068 or 6378072 or 6389537 or 6397242 or 6412035 or 6421702 or 6435416 or 6445797 or 6463535 or 6463537 or 6507904 or 6535988 or 6557104 or 6633963 or 6633981).pn.

US Patent Documents**Note: Applicant is not required to submit a paper copy of cited US Patent Documents**

init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
	1	4162536	1979-07-24	Morley, Richard E.			
	2	4247905	1981-01-27	Yoshida, Yukihiro , et al.		711	166
	3	4276594	1981-06-30	Morley, Richard E.			
	4	4307447	1981-12-22	Provanzano, Salvatore R., et al.			
	5	4319323	1982-03-09	Ermolovich, Thomas R., et al.			
	6	4347565	1982-08-31	Kaneda, Saburo , et al.			
	7	4571672	1986-02-18	Hatada, Minoru , et al.			
	8	4759064	1988-07-19	Chaum,			
	9	4795893	1989-01-03	Ugon, Michael			
	10	4825052	1989-04-25	Chemin, Francois , et al.			
	11	4907270	1990-03-06	Hazard, Michel			

	12	4907272	1990-03-06	Hazard, Michel
	13	4910774	1990-03-20	Barakat, Simon
	14	5007082	1991-04-09	Cummins, Mary T.
	15	5139760	1994-06-07	Mason, Andrew H., et al.
	16	5317705	1994-05-31	Gannon, Patrick M., et al.
	17	5319760	1994-06-07	Mason, Andrew H., et al.
	18	5434999	1995-07-18	Goire, Christian , et al.
	19	5437033	1995-07-25	Inoue, Taro , et al.
	20	5442645	1995-08-15	Ugon, Michel , et al.
	21	5459869	1995-10-17	Spilo, Michael L.
	22	5504922	1996-04-02	Seki, Yukihiro , et al.
	23	5511217	1996-04-23	Nakajima, Atsushi , et al.
	24	5522075	1996-05-28	Robinson, Paul T., et al.
	25	5528231	1996-06-18	Patarin, Jacques
	26	5533126	1996-07-02	Hazard, Michel , et al.
	27	5564040	1996-10-08	Kubals, Jeffrey P.
	28	5566323	1996-10-15	Ugon, Michel
	29	5582717	1996-12-10	Di Santo, Dennis E.
	30	5606617	1997-02-25	Brands, Stefanus A.
	31	5720609	1998-02-24	Pfefferle, William C.
	32	5721222	1998-02-24	Bernstein, Peter R., et al.
	33	5737604	1998-04-07	Miller, David A., et al.
	34	5796835	1998-08-18	Saada, Charles
	35	5825875	1998-10-20	Ugon, Michel
	36	5854913	1998-12-29	Goetz, John W., et al.
	37	5867577	1999-02-02	Patarin, Jacques
	38	5900606	1999-05-04	Rigal, Vincent
	39	5901225	1999-05-04	Ireton, Mark A., et al.
	40	5903752	1999-05-11	Dingwall, Thomas J., et al.
	41	5970147	1999-10-19	Davis, Derek L., et al.
	42	6061794	2000-05-09	Angelo, Michael E.
	43	6075938	2000-06-13	Bugnion, Edouard , et al.
	44	6092095	2000-07-18	Maytal, Benjamin
	45	6115816	2000-09-05	Davis, Derek L.
	46	6173417	2001-01-09	Merrill, John W.
	47	6182089	2001-01-30	Ganapathy, Narayanan , et al.
	48	6212635	2001-04-03	Reardon, David C.
	49	6222923	2001-04-24	Schwenk, Joerg

	50	6252650	2001-06-26	Nakaumra, Kouji		
	51	6269392	2001-07-31	Cotichini, Christian , et al.		
	52	6272637	2001-08-07	Little, Wendell L., et al.	713	194
	53	6282650	2001-08-28	Derek, L. D.		
	54	6308270	2001-10-23	Guthery, Scott B., et al.		
	55	6314409	2001-11-06	Schneck, Paul B., et al.		
	56	6330670	2001-12-11	England, Paul , et al.		
	57	6357004	2002-03-12	Davis, Derek L.		
	58	6363485	2002-03-26	Adams, Carlisle		
	59	6374286	2002-04-16	Gee, John K., et al.		
	60	6374317	2002-04-16	Ajanovic, Jasmin , et al.	710	105
	61	6378068	2002-04-23	Foster, Mark J.		
	62	6378072	2002-04-23	Collins, Thomas , et al.		
	63	6389537	2002-05-14	Davis, Derek L., et al.		
	64	6397242	2002-05-28	Devine, Scott W., et al.		
	65	6412035	2002-06-25	Webber, Victor		
	66	6421702	2002-07-16	Gulick, Dale E.		
	67	6435416	2002-08-20	Slassi, Tarik		
	68	6445797	2002-09-03	McGough, Paul , et al.		
	69	6463535	2002-10-08	Drews, Paul C., et al.		
	70	6463537	2002-10-08	Tello, Jose A.		
	71	6507904	2003-01-14	Ellison, Carl M., et al.		
	72	6535988	2003-03-18	Poisner, David L.		
	73	6557104	2003-04-29	Vu, Son T., et al.		
	74	6633963	2003-10-14	Ellison, Carl M., et al.		
	75	6633981	2003-10-14	Davis, Derek L.		

Remarks

Note: Remarks are not for responding to an office action.

Applicants, in accordance with their duty of disclosure under 37 CFR 1.56 and in accordance with 37 CFR 1.97(b)(3), hereby submit this Electronic Information Disclosure Statement citing U.S. Patent Documents for consideration by the Examiner. Pursuant to 37 CFR 1.97, the submission of this Electronic Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability. This Electronic Information Disclosure Statement is being filed prior to a substantive examination of the claims. Pursuant to 37 CFR 1.97(b), no fee should be required for the filing of this Electronic Information Disclosure Statement. In the event it is determined that a fee is due, please charge the fee to Deposit Account 02-2666. Applicants

respectfully request that the cited documents be considered and that the form be initialed by the Examiner to indicate such consideration and a copy thereof be returned to Applicants' attorney of record.

Signature

Examiner Name	Date